

KUSTA Data Carrier User Manual

For customers of Clearstream Banking Frankfurt

KUSTA Data Carrier User Manual

Clearstream Banking AG, Frankfurt

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Foreword

Clearstream Banking AG, Frankfurt (CBF) introduces the KUSTA Data Carrier for CBF Customers which can be transmitted via File Transfer procedure and is also available for download from the Clearstream website. This KUSTA Data Carrier User Manual is intended to inform customers about the content of the file. It provides the individual field and format descriptions.

CBF reserves the right to revise and update this User Manual at any time in order to document the availability of new products and other improvements to the existing communication services. Customers who have specific inquiries about the information in this User Manual should contact our Client Services teams for questions regarding the functionality. Questions related to the technical connection can be addressed to our Connectivity Support teams.

The applicable version is always the latest version available on our website www.clearstream.com.

The structure of this handbook

The KUSTA Data Carrier User Manual

- Introduces the scope of the KUSTA Data Carrier of CBF Customers;
- Shows the layout of the file provided via File Transfer and in XLS format; and
- Provides for each field a functional description.

Important note

Only Clearstream customers can request an automated transmission of the KUSTA Data Carrier for CBF Customers. Customers who wish to participate in this service are requested to provide order form "46 KUSTA Data Carrier" that is available on the Clearstream website under www.clearstream.com under Products and services / Connectivity / CASCADE/T2S / CASCADE Forms / [Information reports](#).

In order to retrieve the related file from the Clearstream website Premium user access is required. If support is needed, the Client Services teams can be contacted.

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1. Description of the KUSTA Data Carrier

The account master data (Kundenstammdaten (KUSTA)) contains basic information so that all CBF customers can enter business instructions according to the service descriptions provided by CBF. These instructions will be provided either in Indirectly Connected Participant (ICP) mode, that is, to the CASCADE system, or in Direct Connected Participant (DCP) mode in T2S.

The KUSTA Data Carrier contains the account information of CBF customers that are required for entering the counterparty when submitting instructions and information on exchange participants.

The customer data delivered in the file is determined by the consent to publication. The data that is agreed to be published is defined with the flag "Publication Level".

Customers can select one of the following options. The data will be published as defined below:

1 – All data;

Provides all fields defined for the KUSTA Data Carrier "CBF Customers"

2 – Extended basic data;

Provides the number of the account master, T2S Party BIC (BIC11), Legal Entity Identifier (LEI) , CBF-i account and name supplied in the legal address of the customer

3 – Basic data;

Provides the number of account master, T2S Party BIC (BIC11) , CBF-i account and Legal Entity Identifier (LEI). If no selection is made or a customer opts for an "unpublished account", this market relevant data will be published. That is that in any other field no data can be disclosed.

Upon request of the customer, the data to be published can be changed at any time.

Customers ordering the KUSTA Data Carrier for CBF Customers can receive the file in total and in update mode. The file in

- total mode can be provided daily, monthly (Ultimo) and quarterly.
Also, if required the file can be provided once at a specific date.
- update mode will be provided on a daily basis.

On the Clearstream website under Key Documents / CSD Legacy / Reference data / [Customer listing](#) the KUSTA Data Carrier is provided as a XLSX file. The structure of this file is aligned with the data provided via File Transfer. Hence, the description in the following sections is also valid for the XLSX file.

1.1 File structure

This section describes the layout and structure of the KUSTA Data Carrier for CBF Customers.

The format descriptions defines:

- Numerical values = N
If data is not allowed to be disclosed the value "0" will be shown.
If the field length exceeds the size of the value defined, leading zeros are added.
- Characters / alphanumeric values = A
If no data is available the field will be empty (blank).

The file that is provided via File Transfer procedure (FTP) has been set up to support 350 characters. Currently, there is space available. These remaining characters are defined as filler.

The table below shows the format description for the file provided via FTP and as XLSX file. This overview can be read as follows.

The column

- "No." is used exclusively for documentation purposes.
- "Field name" is used in the XLSX file as header, whereas the file transmitted in FTP has no header row.
- "Description" is a quick reference for the data delivered. More details are available in chapter 2.
- "Format" provides the structure of a field.

1. Description of the KUSTA Data Carrier

No.	Field name	Description	Format
1	Status	Indicator	A(1)
2	Bank	CBF account master	N(4)
3	T2S Party BIC	T2S Party BIC	A(11)
4	LEI	LEI – Legal Entity Identifier	A(20)
5	Name	Name; as given in legal address of the account master	A(71)
6	Strasse	Street	A(30)
7	Land	Country Code	A(3)
8	Postleitzahl	Postal Code	A(10)
9	Ort	City	A(30)
10	Börsenplatz	Place of Stock Exchange	N(1)
11	AWV-Gebiet	German foreign trade regulations – Area	N(1)
12	AWV-Land	German foreign trade regulations – Country	N(3)
13	Kontengruppe	Account master type	N(2)
14	Börsen-Teilnehmer	Stock Exchange Participant	N(1)
15	Auslandsteilnehmer	Participant of CBF international (CBF-i) - if associated account is available	N(1)
16	EUREX-Teilnehmer	EUREX Participant	N(1)
17	Reg-Über	CBF account master used for settlement of Stock Exchange trades	N(4)
18	Teilnahme DvP	Indicator, for settlement against payment	A(1)
19	Bestandsart	Ownership rights of the positions	N(1)
20	CBF-i Konto	Alphanumeric five-digit Creation account identification used for the settlement of non-CCP stock exchange instructions in non-collective safe custody securities	A(5)

End of table / description

2. Field description

This chapter provides the description for the fields defined in section 1.1 File structure. The fields are ordered by the field number shown in the related table.

Besides the fields that are defined as “market relevant data” all other fields can remain empty.

2.1 Field 1 – Status

Definition:	Indicator defines whether this data set provides information on entry, modification or deletion.
Format:	A(1)
Values:	A Data set modified (Änderung) L Data set deleted (Löschung) Z Data set added (Zugang)
Special note:	For any data set provided in the “total” mode, the value “Z” will be presented.

2.2 Field 2 – Bank

Definition:	CBF account master number
Format:	N(4)
Values:	No further definition
Special note:	The account number belongs to the market relevant data and is available, even though the customer owing this account master opts for an “unpublished participant setup”.

2.3 Field 3 – T2S Party BIC

Definition:	T2S Party BIC This BIC has a 1:1 relationship to the CBF account master and is established on TARGET2-Securities (T2S) as the related T2S Party.
Format:	A(11)
Values:	According to the SWIFT definition and publication level
Special note:	The T2S Party BIC belongs to the market relevant data and is available, even though the customer opts for an “unpublished participant setup”. TARGET2-Securities (T2S) uses this BIC as identifier for a T2S Party. This BIC serves as matching criteria in settlement instructions processed by the platform.

2. Field description

2.4 Field 4 – LEI

Definition:	Legal Entity Identifier (LEI) This code identifies distinct legal identities that engage in financial transactions.
Format:	A(20)
Values:	No further definition
Special note:	The LEI belongs to the market relevant data and is available, even though the customer owing the account master opts for an “unpublished participant setup”. In line with the Markets in Financial Instruments Directive (MiFID II), CBF is obliged to store the LEI as this code facilitates greater transparency for all CBF customers.

2.5 Field 5 – Name

Definition:	Name of CBF customer as given in the legal address of the account master
Format:	A(71)
Values:	No further definition
Special note:	If the customer owing the account master opts for an “unpublished participant setup”, “UNPUBLISHED PARTICIPANT” is shown.

2.6 Field 6 – Strasse

Definition:	Street as given in the legal address of the account master
Format:	A(30)
Values:	No further definition
Special note:	Not applicable

2.7 Field 7 – Land

Definition:	Country will be provided as ISO country code
Format:	A(3)
Values:	CBF uses ISO3166 alpha-2
Special note:	The field is defined with 3 characters, the content is alpha-2, only.

2.8 Field 8 – Postleitzahl

Definition:	Postal code that belongs to field 6 – Strasse (street)
Format:	A(10)
Values:	No further definition
Special note:	Not applicable

2.9 Field 9 – Ort

Definition:	City as given in legal address of the account master
Format:	A(30)
Values:	No further definition
Special note:	Not applicable

2.10 Field 10 – Börsenplatz

Definition:	Place of Stock Exchange indicated by CBF-ID
Format:	N(1)
Values:	Definition according to KUSTA database 1 Berlin 2 München 3 Hamburg 4 Düsseldorf 6 Stuttgart 7 Frankfurt 8 Hannover
Special note:	Not applicable

2.11 Field 11 – AWV-Gebiet

Definition:	German foreign trade regulations – Area This flag defines whether the CBF customer is resident and non-resident.
Format:	N(1)
Values:	Definition according to KUSTA database 0 initial value 1 resident (gebietsansässig) 2 non-resident (gebietsfremd)
Special note:	Not applicable

2. Field description

2.12 Field 12 – A WV-Land

Definition:	German foreign trade regulations – Country of origin
Format:	N(3)
Values:	Definition according to WSS Table 09/03
Special note:	The data can be retrieved via the online functionality.

2.13 Field 13 – Kontengruppe

Definition:	Account master type
Format:	N(2)
Values:	Definition according to KUSTA database 00 initial value 01 Customer account, account requires a (positive) holding 06 Broker (Makler) 15 Foreign depository 17 Customer account, account with positive and negative holding 20 No CBF customer (XETRA Member) 36 Counterparty CSD Account
Special note:	Not applicable

2.14 Field 14 – Börsen-Teilnehmer

Definition:	Stock Exchange participant This flag defines if the CBF customer is a registered member.
Format:	N(1)
Values:	0 initial value 1 No stock exchange member 2 Stock exchange member, Platz and Fern (PUEV Teilnehmer) 3 Stock exchange member, Platz only 4 EUREX participant, only
Special note:	Not applicable

2.15 Field 15 – Auslandsteilnehmer

Definition:	Foreign participant This flag defines whether for a CBF account a CBF-i account has been appointed for the settlement on the CBL Creation platform. If the CBF-i account is populated, the value "2" will be set, else value "0" will be presented.
Format:	N(1)
Values:	0 initial value 2 Settlement via Creation enabled (CBF-AUSL-TEILNEHM)
Special note:	Not applicable

2.16 Field 16 – EUREX-Teilnehmer

Definition:	EUREX participant This flag defines if the CBF customer is a registered member.
Format:	N(1)
Values:	0 initial value 1 No EUREX member 2 General Clearing member 3 Direct Clearing member 4 Non-Clearing member
Special note:	Not applicable

2.17 Field 17 – Reg-Ueber

Definition:	Third Party Relationship The related Head Office (Reg-Über Zentrale) is shown with the respective CBF account master (4 digits).
Format:	N(4)
Values:	No further definition
Special note:	The Head Office (Reg-Über Zentrale) can opt for an “unpublished participant setup”.

2. Field description

2.18 Field 18 – Teilnahme DvP

Definition:	Indicator defines if against payment transactions will be possible.
Format:	A(1)
Values:	J Ja (yes); customer participates in DvP settlement. N Nein (no); setting for DvP settlement not defined.
Special note:	Although a Third Party relationship exists and the Head Office is set up for a participation in DvP settlement, it has to be considered that this flag indicates the participation in DvP settlement for the customer (Field 2 – Bank).

2.19 Field 19 – Bestandsart

Definition:	Ownership rights of the positions held in a CBF account master
Format:	N(1)
Values:	0 No information available 1 Not applicable 2 Own assets 3 Not applicable 4 Not applicable 5 Client omnibus 6 Client segregated
Special note:	Not applicable

2.20 Field 20- CBF-i-Konto

Definition:	Shows the five-digit Creation account used for the settlement of the customer's stock exchange trades in NCSC securities
Format:	A(5)
Values:	No further definition
Special note:	<p>The field "CBF-i account" is published exclusively in relation to trading on the stock exchanges.</p> <p>It shows the alphanumeric five-digit CBF-i account be filled, if:</p> <ul style="list-style-type: none">• The CBF customer is admitted to trading on a German stock exchange (field 14 "Börsen-Teilnehmer" contains the value 2 (Stock Exchange member, being a PUEV participant) or 3 (Stock Exchange member, only)); and• The account master serves as head office. <p>The field will be empty, if:</p> <ul style="list-style-type: none">• The CBF customer is not admitted to trading on a German stock exchange (field 14 "Börsen-Teilnehmer" filled with value 1 (no Stock Exchange member)); or• The account master is set up for a branch.

2.21 Filler

Definition:	This field does not contain any information. Consequently, this field is defined by its lengths, only. The length is represented by the values available for enhancements
Format:	Characters; the length depends on the remaining space to complete the size of 350 characters.
Values:	Not applicable
Special note:	CBF continues to enhance its services. Modifications are announced in the CBF Release Information.

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